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TO: J. ANDREW MCKINNEY, JR. COMPANY: P.O. BOX 1290



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DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE



\*500837525\*

AUGUST 18, 2009

PTAS

J. ANDREW MCKINNEY, JR.  
P.O. BOX 1290  
MILLERSVILLE, MD 21108

**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 08/14/2009

REEL/FRAME: 023094/0754  
NUMBER OF PAGES: 6

BRIEF: MERGER (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: 1865 POLK AUDIO

**ASSIGNOR:**

BRITANNIA INVESTMENT CORPORATION

DOC DATE: 11/21/2008

**ASSIGNEE:**

POLK AUDIO, INC  
5601 METRO DRIVE  
BALTIMORE, MARYLAND 21202

SERIAL NUMBER: 29114287  
PATENT NUMBER: D440559  
TITLE: PORTION OF A SPEAKER

FILING DATE: 11/22/1999  
ISSUE DATE: 04/17/2001

SERIAL NUMBER: 29114318  
PATENT NUMBER: D448360  
TITLE: PORTION OF A SPEAKER

FILING DATE: 11/22/1999  
ISSUE DATE: 09/25/2001

P.O. Box 1450, Alexandria, Virginia 22313-1450 - www.uspto.gov

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023094/0754 PAGE 2

SERIAL NUMBER: 29145272  
PATENT NUMBER: D463407  
TITLE: SPEAKER

FILING DATE: 07/20/2001  
ISSUE DATE: 09/24/2002

SERIAL NUMBER: 29237161  
PATENT NUMBER: D538767  
TITLE: AUDIO SYSTEM

FILING DATE: 08/29/2005  
ISSUE DATE: 03/20/2007

SERIAL NUMBER: 29296897  
PATENT NUMBER:  
TITLE: SPEAKER

FILING DATE: 10/30/2007  
ISSUE DATE:

SERIAL NUMBER: 29296898  
PATENT NUMBER:  
TITLE: AUDIO SYSTEM

FILING DATE: 10/30/2007  
ISSUE DATE:

SERIAL NUMBER: 60924612  
PATENT NUMBER:

FILING DATE: 05/22/2007  
ISSUE DATE:

TITLE: LOW-FREQUENCY IN-ROOM ACOUSTIC MAGNITUDE RESPONSE SMOOTHING VIA LATENT SUMMATION OF CORRECTION SIGNALS

SERIAL NUMBER: 09753724

FILING DATE: 01/04/2001

PATENT NUMBER:

ISSUE DATE:

TITLE: COMPACT NARROW BAND LOUDSPEAKER ENCLOSURE

SERIAL NUMBER: 09754241

FILING DATE: 01/05/2001

PATENT NUMBER:

ISSUE DATE:

TITLE: COMPACT NARROW BAND LOUDSPEAKER ENCLOSURE AND METHOD

SERIAL NUMBER: 10337347

FILING DATE: 01/07/2003

PATENT NUMBER: 7162049

ISSUE DATE: 01/09/2007

TITLE: PORTED LOUDSPEAKER SYSTEM AND METHOD WITH REDUCED AIR TURBULENCE, BIPOLAR RADIATION PATTERN AND NOVEL APPEARANCE

SERIAL NUMBER: 10660733

FILING DATE: 09/12/2003

PATENT NUMBER: 7043034

ISSUE DATE: 05/09/2006

TITLE: LOUDSPEAKER WITH SINGLE OR DUAL CHANNEL INPUT SELECTOR AND LOCKOUT

SERIAL NUMBER: 10660727

FILING DATE: 09/12/2003

PATENT NUMBER: 7039212

ISSUE DATE: 05/02/2006

TITLE: WEATHER RESISTANT PORTING

SERIAL NUMBER: 10692692

FILING DATE: 10/27/2003

PATENT NUMBER: 6937737

ISSUE DATE: 08/30/2005

TITLE: MULTI-CHANNEL AUDIO SURROUND SOUND FROM FRONT LOCATED LOUDSPEAKERS

SERIAL NUMBER: 11139611

FILING DATE: 05/31/2005

PATENT NUMBER:

ISSUE DATE:

TITLE: COMPACT AUDIO REPRODUCTION SYSTEM WITH LARGE PERCEIVED ACOUSTIC SIZE AND IMAGE

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TO: J. ANDREW MCKINNEY, JR. COMPANY: P.O. BOX 1290

023094/0754 PAGE 3

SERIAL NUMBER: 11147447 FILING DATE: 06/08/2005  
 PATENT NUMBER: 7231053 ISSUE DATE: 06/12/2007  
 TITLE: ENHANCED MULTI-CHANNEL AUDIO SURROUND SOUND FROM FRONT LOCATED  
 LOUDSPEAKERS

SERIAL NUMBER: 12153623 FILING DATE: 05/21/2008  
 PATENT NUMBER: ISSUE DATE:  
 TITLE: IN-ROOM ACOUSTIC MAGNITUDE RESPONSE SMOOTHING VIA SUMMATION OF  
 CORRECTION SIGNALS \*

SERIAL NUMBER: 29114287 FILING DATE: 11/22/1999  
 PATENT NUMBER: D440559 ISSUE DATE: 04/17/2001  
 TITLE: PORTION OF A SPEAKER

SERIAL NUMBER: 29114318 FILING DATE: 11/22/1999  
 PATENT NUMBER: D448360 ISSUE DATE: 09/25/2001  
 TITLE: PORTION OF A SPEAKER

SERIAL NUMBER: 29145272 FILING DATE: 07/20/2001  
 PATENT NUMBER: D463407 ISSUE DATE: 09/24/2002  
 TITLE: SPEAKER

SERIAL NUMBER: 29237161 FILING DATE: 08/29/2005  
 PATENT NUMBER: D538767 ISSUE DATE: 03/20/2007  
 TITLE: AUDIO SYSTEM

SERIAL NUMBER: 10337347 FILING DATE: 01/07/2003  
 PATENT NUMBER: 7162049 ISSUE DATE: 01/09/2007  
 TITLE: PORTED LOUDSPEAKER SYSTEM AND METHOD WITH REDUCED AIR TURBULENCE,  
 BIPOLAR RADIATION PATTERN AND NOVEL APPEARANCE

SERIAL NUMBER: 10660733 FILING DATE: 09/12/2003  
 PATENT NUMBER: 7043034 ISSUE DATE: 05/09/2006  
 TITLE: LOUDSPEAKER WITH SINGLE OR DUAL CHANNEL INPUT SELECTOR AND LOCKOUT

SERIAL NUMBER: 10660727 FILING DATE: 09/12/2003  
 PATENT NUMBER: 7039212 ISSUE DATE: 05/02/2006  
 TITLE: WEATHER RESISTANT PORTING

SERIAL NUMBER: 10692692 FILING DATE: 10/27/2003  
 PATENT NUMBER: 6937737 ISSUE DATE: 08/30/2005  
 TITLE: MULTI-CHANNEL AUDIO SURROUND SOUND FROM FRONT LOCATED LOUDSPEAKERS

SERIAL NUMBER: 11147447 FILING DATE: 06/08/2005  
 PATENT NUMBER: 7231053 ISSUE DATE: 06/12/2007  
 TITLE: ENHANCED MULTI-CHANNEL AUDIO SURROUND SOUND FROM FRONT LOCATED  
 LOUDSPEAKERS

ASSIGNMENT SERVICES BRANCH  
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PATENT ASSIGNMENT

Electronic Version v1.1  
 Stylesheet Version v1.1

08/14/2009  
 500937525

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	MERGER
EFFECTIVE DATE:	11/21/2008
CONVEYING PARTY DATA	
Name	Execution Date
BRITANNIA INVESTMENT CORPORATION	11/21/2008
RECEIVING PARTY DATA	
Name:	POLK AUDIO, INC
Street Address:	5001 Metro Drive
City:	Baltimore
State/Country:	MARYLAND
Postal Code:	21202
PROPERTY NUMBERS Total: 25	
Property Type	Number
Patent Number:	D440559
Patent Number:	D448360
Patent Number:	D483407
Patent Number:	D538767
Patent Number:	7182049 *
Patent Number:	7043034 *
Patent Number:	7039212 *
Patent Number:	6937737
Patent Number:	7231053
Application Number:	29114287
Application Number:	29114318
Application Number:	29146272
Application Number:	29237161 *
Application Number:	29286897

CH \$1800.00 D440559

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TO: J. ANDREW MCKINNEY, JR. COMPANY: P.O. BOX 1290

Application Number:	29298888 *
Application Number:	80824812 *
Application Number:	09753724
Application Number:	09754241
Application Number:	10337347
Application Number:	10880733
Application Number:	10880727
Application Number:	10892682
Application Number:	11139811 *
Application Number:	11147447
Application Number:	12153623 *

## CORRESPONDENCE DATA

Fax Number: (410)518-8050

*Correspondence will be sent via US Mail when the fax attempt is unsuccessful.*

Phone: 410-518-8040

Email: mail@andrewmckinney.com

Correspondent Name: J. ANDREW MCKINNEY, JR.

Address Line 1: P.O. BOX 1290

Address Line 4: MILLERSVILLE, MARYLAND 21108

ATTORNEY DOCKET NUMBER:	1865 POLK AUDIO
NAME OF SUBMITTER:	J. ANDREW MCKINNEY, JR.

## Total Attachments: 4

source=Britannia Into Polk merger doc filed with Maryland tax authority#page1.tif

source=Britannia Into Polk merger doc filed with Maryland tax authority#page2.tif

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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Matthew S. Polk, Jr.

Application No./Patent No.: 10/692692

Filed/Issue Date: 10/27/2003

Titled: **MULTI-CHANNEL AUDIO SURROUND SOUND FROM FRONT LOCATED LOUDSPEAKERS**

Polk Audio, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy therefore is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Matthew S. Polk, Jr. To: Britannia Investment Corporation

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: Britannia Investment Corporation To: Polk Audio Incorporation.

The document was recorded in the United States Patent and Trademark Office at  
Reel 023094, Frame 0754, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

9/01/2008

Date

J. Andrew McKinney, Jr.

Attorney

Printed or Typed Name

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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United States Patent and Trademark Office  
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P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/692,692	10/27/2003	Matthew S. Polk JR.	1865.0840000

CONFIRMATION NO. 2042

26111  
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
1100 NEW YORK AVENUE, N.W.  
WASHINGTON, DC 20005



\*OC000000037260359\*

Cc: J. ANDREW MCKINNEY & ASSOCIATES, LLC  
PO BOX 1290  
MILLERSVILLE, MD 21108

Date Mailed: 08/06/2009

**DENIAL OF REQUEST FOR POWER OF ATTORNEY**

The request for Power of Attorney filed 08-03-09 is acknowledged. However, the request cannot be granted at this time for the reason stated below.

- ☐ The revocation is not signed by the applicant, the assignee of the entire interest, or one particular principal attorney having the authority to revoke.
- ☒ The Power of Attorney is from an assignee and the Certificate required by 37 CFR 3.73(b) has not been received.
- ☐ The person signing for the assignee has omitted their empowerment to sign on behalf of the assignee.
- ☐ The inventor(s) is without authority to appoint attorneys since the assignee has intervened as provided by 37 CFR 3.71.
- ☐ The signature(s) of \_\_\_\_\_, a co-inventor in this application, has been omitted. The Power of Attorney will be entered upon receipt of confirmation signed by said co-inventor(s).
- ☐ The person(s) appointed in the Power of Attorney is not registered to practice before the U.S. Patent and Trademark Office.

Questions relating to this Notice should be directed to the Application Assistance Unit.

  
Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101

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PTO/SB/81 (01-09)

Approved for use through 11/30/2011. OMB 0851-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>POWER OF ATTORNEY OR REVOCATION OF POWER OF ATTORNEY WITH A NEW POWER OF ATTORNEY AND CHANGE OF CORRESPONDENCE ADDRESS</b>	Application Number	10/582592
	Filing Date	10/27/2003
	First Named Inventor	Polk, Matthew
	Title	SOUND FROM FRONT LOCATED
	Art Unit	
	Examiner Name	
	Attorney Docket Number	1885.0840000

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint Practitioner(s) associated with the following Customer Number as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith:

83182

OR

☐ I hereby appoint Practitioner(s) named below as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith:

Practitioner(s) Name	Registration Number

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number.

OR

☐ The address associated with Customer Number:

OR

☐ Firm or Individual Name

Address

City

State

Zip

Country

Telephone

Email

I am the:

☐ Applicant/Inventor.

OR

☒ Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) (Form PTO/SB/06) submitted herewith or filed on \_\_\_\_\_.

**SIGNATURE of Applicant or Assignee of Record**

Signature

Date

08/08/2009

Name

RC Bean

Telephone

Title and Company

Vice President & Corporate Counsel, Polk Audio, Inc.

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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